

EXHIBIT 3-D REQUEST FOR AUTHORIZATION TO PROCEED WITH CONSTRUCTION**(Local Agency Letterhead)**

To: (DLAE Name)
District Local Assistance Engineer
Caltrans, Office of Local Assistance
(District Address)

Date: _____
FTIP/FSTIP ID: _____
Federal Project No: _____
EA: _____
PPNO (For STIP Projects only): _____
Project Description: _____

Dear (DLAE Name):

In order to advertise, award and administer the construction contract for the above-referenced project, we request that you secure Federal Authorization to Proceed and obligation of funds. The federal funds requested do not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

Request for Authorization Package

- ☐ Completed Request for Construction Authorization Data Sheet (Exhibit 3-E)
- ☐ Copy of FTIP/FSTIP Reference Sheet
- ☐ Completed Finance Letter (Exhibit 3-O)
- ☐ Copy of Executed Cooperative Agreement (only for projects on State Highway System)
- ☐ Request for capital Subvention Reimbursement Authority (Exhibit 3-H) (only for projects on State Highway System)

Field Review Form (Exhibit 7-B)

- ☐ Completed Field Review Form (Exhibit 7-B), or
- ☐ The Field Review form previously was submitted on _____.

Environmental Document

- ☐ Type of NEPA Document. Approval Date: _____.
- ☐ Categorical Exclusion (CE) Forms
- ☐ Findings of No Significant Impact (FONSI)
- ☐ Record of Decision (ROD)
- ☐ Re-evaluation

Disadvantaged Business Enterprises

- ☐ The Annual Anticipated DBE Participation Level (AADPL) for FFY _____ was approved by Caltrans on _____.
- ☐ All work for this phase of the project will be performed by local agency staff.
- ☐ For construction contracts the Local Agency Proposer/Bidder-DBE (Construction Contract) Information (Exhibit 15-G) will be provided immediately upon Execution of the consultant contract.

Right of Way Certification (Exhibits 13-A or 13-B)

- ☐ Right of Way Certification # _____ which was approved on _____.
- ☐ Right of Way Certification # _____ was approved on _____ and previously submitted.

PS&E Package and PS&E Certification

- ☐ Completed PS&E package, PS&E Certification (Exhibit 12-C), and PS&E Checklist (Exhibit 12-D), or
- ☐ The PS&E package, PS&E Certification, and PS&E Checklist were submitted and accepted on _____.

Local Agency Construction Contract Administration Checklist

- ☐ Local Agency Construction Contract Administration Checklist (Exhibit 15-A), or
- ☐ The Local Agency Construction Administration Checklist was submitted previously and our procedures have not changed.

California Transportation Commission (CTC) Allocation

Check which of the following applies:

- ☐ A CTC allocation is not required, or
- ☐ A CTC allocation of funds for the construction component of work was made at the _____ meeting of the CTC, or
- ☐ A CTC allocation of funds has been scheduled for the _____ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the "Authorization to Proceed" (and agency submittal of the "Field Review" form [Exhibit 7-B], if not previously submitted), a "Program Supplement Agreement" and/or state approved "Finance Letter" will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are typically available for disbursement for a period of seven (7) and five (5) years respectively, from the beginning of the fiscal year(s) that those funds are appropriated in the State Budget Act, unless an extension is granted by the Department of Finance. It is anticipated that this phase of work will be completed by (month, year)

Invoice Submittal

This Agency understands that project construction contracts advertised prior to federal authorization are NOT eligible for reimbursement. It is also understood that construction-engineering cost must be specifically included and authorized in the federal Authorization to Proceed with Construction to be eligible for reimbursement. If construction engineering (CE) is authorized after construction begins, only those construction-engineering costs incurred after the date the CE is authorized are eligible for reimbursement.

Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed "Program Supplement Agreement" and /or state approved Finance Letter. It is understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

CERTIFICATION

I certify that the facts and statements in this "Request for Authorization Package" are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administration and California Department of Transportation relative to the above-designated project.

I understand that upon submittal of this request and a completed "Field Review" form, the federal and/or state funds will be encumbered via a Program Supplement Agreement and /or state approved Finance Letter. This Agency will comply with the liquidation deadlines as explained in Government Code 16304.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated/encumbered and all costs it incurred prior to receiving the FHWA issued "Authorization to Proceed" for this phase of the project.

Please advise us as soon as the “Authorization to Proceed” has been issued. You may direct any questions to

____ (Name of Local Agency Contact) at ____ (phone number and e-mail address) ____.

NAME

Title

Agency

Distribution: DLAE

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